

Rev. 08/22/2003

Attorney Docket No. TELO-001/02US

PATENT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of Richard P. TRACY et al.

Serial No.: 09/822,868

Examiner: Felix E. Suarez

Confirmation No.: 7199

Art Unit: 2857

Filed: April 2, 2001

For: SYSTEM, METHOD AND MEDIUM FOR CERTIFYING AND  
ACCREDITING REQUIREMENTS COMPLIANCE

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### INFORMATION DISCLOSURE STATEMENT TRANSMITTAL

Enclosed is an Information Disclosure Statement and accompanying Form  
PTO/SB/08A for the above-identified patent application.

- ☒ In accordance with 37 C.F.R. §1.97(b), no additional fee for submission of the IDS is required.
- ☐ In accordance with 37 C.F.R. §1.97(c), also enclosed is:
- ☐ the fee of \$180.00 as set forth in 37 C.F.R. §1.17(p); or
- ☐ a statement as specified in 37 C.F.R. §1.97(e).
- ☐ In accordance with 37 C.F.R. §1.97(d), a statement as specified in 37 C.F.R. §1.97(e) and the fee of \$180.00 as set forth in 37 C.F.R. §1.17(p) are also enclosed.
- ☐ Check No. \_\_\_ in the amount of \$\_\_\_ for the total fee is attached.
- ☒ A return receipt postcard is also enclosed.
- ☐ Please charge \$\_\_\_ to Deposit Account No. 50-1283 for the total fee. This paper is being submitted in duplicate.

The Commissioner is hereby authorized to charge any appropriate fees under 37 C.F.R. §§1.16, 1.17, and 1.21 that may be required by this paper, and to credit any overpayment, to Deposit Account No. 50-1283.

Dated: October 15, 2003

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Respectfully submitted,  
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By: 

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Attorney Docket No. TELO-001/02US

PATENT



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**INFORMATION DISCLOSURE STATEMENT  
 UNDER 37 C.F.R. §1.97(b)**

In accordance with the duty of disclosure set forth in 37 C.F.R. §1.56, Applicant(s) hereby submits the following information in conformance with 37 C.F.R. §§1.97 and 1.98.

- ☒ Pursuant to 37 C.F.R. §1.98, a copy of each document cited in the attached Form PTO/SB/08 is enclosed.
- ☐ No copies of the publications listed on the attached Form PTO/SB/08A are being provided pursuant to 37 C.F.R. §1.98(d) because the publications were previously cited by or submitted to the Office in prior Application Serial No. \_\_\_\_ to which the above-identified application claims priority under 35 U.S.C. §120.
- ☐ No copies of any U.S. patents or U.S. patent application publications listed on the attached Form PTO/SB/08A are being provided pursuant to 37 C.F.R. §1.98 because this application was filed after June 30, 2003.
- ☐ Publication(s) \_\_\_\_ listed on the attached Form PTO/SB/08A were cited in a foreign search or examination report corresponding to \_\_\_\_ application serial no. \_\_\_\_ and mailed on \_\_\_\_.
- ☐ Enclosed is a copy of a non-English publication(s) \_\_\_\_\_. Pursuant to §609 of the M.P.E.P., Applicant submits the attached foreign search or examination report, which cites such non-English language publication(s).

- ☐ Enclosed is a copy of a non-English publication(s) \_\_\_\_\_. English language publication \_\_\_\_\_ (copy enclosed) claims priority from this non-English publication.
- ☐ Enclosed is an explanation of non-English publication(s) \_\_\_\_ for which an English translation is not available.
- ☐ Enclosed is an English translation of non-English publication(s) \_\_\_\_ cited in the attached Form PTO/SB/08A.
- ☐ Enclosed is a copy of pending patent Application Serial No. \_\_\_\_\_.

This Information Disclosure Statement is filed within any one of the following time periods:

- ☐ within three months from the filing date of this national application other than a CPA under 37 C.F.R. § 1.53(d);
- ☐ within three months from the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in this international application;
- ☐ before the mailing date of a first office action on the merits; or
- ☒ before the mailing of a first office action after the filing of a request for continued examination under 37 C.F.R. § 1.114.

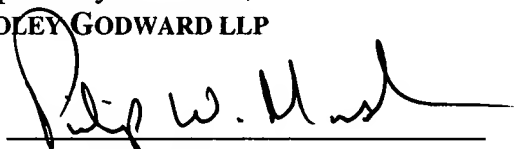
It is respectfully requested that the Examiner consider the above-noted information and return an initialed copy of the attached Form PTO/SB/08A to the undersigned.

No fee is believed to be necessary for the submission of this paper. In the event that a fee is required, the Commissioner is hereby authorized to charge any underpayment of the fees associated with this communication under 37 C.F.R. § 1.20 or credit any overpayment to Deposit Account No. 50-1283.

Dated: October 15, 2003

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Respectfully submitted,  
COOLEY GODWARD LLP

By:   
Philip W. Marsh  
Reg. No. 46,061

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PTO/SB/08A (08-00)



Substitute for form 1449A/PTO <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>				<b>Complete if Known</b>	
	<b>Application Number</b>	09/822,868			
	<b>Filing Date</b>	April 2, 2001			
	<b>First Named Inventor</b>	Richard P. Tracy			
	<b>Group Art Unit</b>	2857			
	<b>Examiner Name</b>	Felix E. Suarez			
<b>Sheet</b>	1	<b>of</b>	2	<b>Attorney Docket Number</b>	TELO-001/02US

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY
		Number	Kind Code <sup>2</sup> (if known)		
	A1	US 5,870,545		Davis et al.	02-09-1999
	A2	US 6,401,073	B1	Tokuda et al.	06-04-2002

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)		

<b>Examiner Signature</b>		<b>Date Considered</b>	
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<sup>1</sup> Unique citation designation number.  
<sup>2</sup> See attached Kinds of U.S. Patent Documents.  
<sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3).  
<sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.  
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Substitute for form 1449B/PTO				<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)				<b>Application Number</b>	09/822,868
				<b>Filing Date</b>	April 2, 2001
				<b>First Named Inventor</b>	Richard P. Tracy
				<b>Group Art Unit</b>	2857
				<b>Examiner Name</b>	Felix E. Suarez
<b>Sheet</b>	2	<b>of</b>	2	<b>Attorney Docket Number</b>	TELO-001/02US

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS				
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.		T <sup>2</sup>
	C1	DENNIS SZERSZEN, "Secure Strategies – A Year-Long Series on the Fundamentals of Information Systems Security – Extending your business to the Web requires a firm understanding of directories, what they offer and the challenges you'll face in deploying them," April 2000, Part 1, from <a href="http://infosecuritymag.techtarget.com/articles/april00/features4.shtml">http://infosecuritymag.techtarget.com/articles/april00/features4.shtml</a> .		
	C2	"DOD Information Technology Security Certification and Accreditation Process (DITSCAP)," Lesson 11, August 29, 2000, from <a href="http://atzhssweb.gordon.army.mil/otd/c2protect/isso/item17.html">http://atzhssweb.gordon.army.mil/otd/c2protect/isso/item17.html</a> , pp. 1-25.		
	C3	The Mitre Corporation, "The Key to Information Sharing – Common Vulnerabilities & Exposures," August 17, 2000, from <a href="http://www.cve.mitre.org/about/introduction.html">http://www.cve.mitre.org/about/introduction.html</a> .		
	C4	AL BERG, "Secure Strategies – A Year-Long Series on the Fundamentals of Information Systems Security - On the surface, all vulnerability assessment scanners perform essentially the same way. Here's how to decide which one-if any-is right for your requirements," Part 2, "Audits, Assessments & Tests (Oh, My)," from <a href="http://www.infosecuritymag.com/aug2000/securestrategies.htm">http://www.infosecuritymag.com/aug2000/securestrategies.htm</a> , pp. 1-5.		
	C5	DAN SWANSON, "Secure Strategies – A Year-Long Series on the Fundamentals of Information Systems Security - Avoiding IS Icebergs," Part 4, "Audits, Assessments & Tests (Oh, My)," from <a href="http://www.infosecuritymag.com/oct2000/icebergs.htm">http://www.infosecuritymag.com/oct2000/icebergs.htm</a> , pp. 1-4.		
	C6	GEORGE KURTZ and CHRIS PROSISE, "Secure Strategies – Penetration Testing Exposed," Part 3, "Audits, Assessments & Tests (Oh, My)," from <a href="http://www.infosecuritymag.com/sep2000/securestrategies.htm">http://www.infosecuritymag.com/sep2000/securestrategies.htm</a> , pp. 1-5.		

<b>Examiner Signature</b>		<b>Date Considered</b>	
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<sup>1</sup> Unique citation designation number.

<sup>2</sup> Applicant is to place a check mark here if English language Translation attached.